

FORM PTO-1390  
(REV. 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

MOT-D2174

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5

09/857010

INTERNATIONAL APPLICATION NO.  
PCT/US99/28232INTERNATIONAL FILING DATE  
30 November 1999PRIORITY DATE CLAIMED  
30 November 1998TITLE OF INVENTION  
UNIVERSAL MODULATORAPPLICANT(S) FOR DO/EO/US  
Matthew G. Waight and Dipakkumar R. Patel

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

## Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information:  
Eight (8) sheets of drawings, in triplicate; copy of the International Publication with Search Report; copy of the International Preliminary Examination Report; copy of the Written Opinion; copy of the Reply to Written Opinion; and Application Data Sheet

U.S. APPLICATION NO. (if known) **09/857010**INTERNATIONAL APPLICATION NO.  
PCT/US99/28232ATTORNEY'S DOCKET NUMBER  
MOT-D217421. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):**Neither international preliminary examination fee (37 CFR 1.482)  
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO  
and International Search Report not prepared by the EPO or JPO. .... **\$1000.00**International preliminary examination fee (37 CFR 1.482) not paid to  
USPTO but International Search Report prepared by the EPO or JPO ..... **\$860.00**International preliminary examination fee (37 CFR 1.482) not paid to USPTO  
but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... **\$710.00**International preliminary examination fee (37 CFR 1.482) paid to USPTO  
but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... **\$690.00**International preliminary examination fee (37 CFR 1.482) paid to USPTO  
and all claims satisfied provisions of PCT Article 33(1)-(4) ..... **\$100.00****ENTER APPROPRIATE BASIC FEE AMOUNT =****CALCULATIONS PTO USE ONLY**

\$ 860.00

Surcharge of **\$130.00** for furnishing the oath or declaration later than ☐ 20 ☐ 30  
months from the earliest claimed priority date (37 CFR 1.492(e)).

\$

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total claims	12 - 20 =	0	x \$18.00
Independent claims	3 - 3 =	0	x \$80.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$270.00
<b>TOTAL OF ABOVE CALCULATIONS =</b>			\$ 860.00

\$

Total claims

12 - 20 =

0

x \$18.00

\$ 0.00

Independent claims

3 - 3 =

0

x \$80.00

\$ 0.00

MULTIPLE DEPENDENT CLAIM(S) (if applicable)

+ \$270.00

\$ 0.00

**TOTAL OF ABOVE CALCULATIONS =**

\$ 860.00

☐ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above  
are reduced by 1/2.

\$

**SUBTOTAL =**

\$ 860.00

Processing fee of **\$130.00** for furnishing the English translation later than ☐ 20 ☐ 30  
months from the earliest claimed priority date (37 CFR 1.492(f)).

\$

**TOTAL NATIONAL FEE =**

\$ 860.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be  
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). **\$40.00** per property +

\$

0.00

**TOTAL FEES ENCLOSED =**

\$ 860.00

Amount to be  
refunded:

\$

charged:

\$

a. ☒ A check in the amount of \$ 860.00 to cover the above fees is enclosed.b. ☐ Please charge my Deposit Account No. 22-0493 in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
overpayment to Deposit Account No. 22-0493. A duplicate copy of this sheet is enclosed.d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card  
information should not be included on this form.** Provide credit card information and authorization on PTO-2038.**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR  
1.137 (a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:

Volpe and Koenig, P.C.  
Suite 400, One Penn Center  
1617 John F. Kennedy Boulevard  
Philadelphia, PA 19103

SIGNATURE

Darryl W. Shorter

NAME

47,942

REGISTRATION NUMBER

JOINT Rec'd PCT/PTO 29 MAY 2001

U.S. APPLICATION NO. (known) 7 CFR 1.51 <b>09/857010</b>		INTERNATIONAL APPLICATION NO. PCT/US99/28232	ATTORNEY'S DOCKET NUMBER MOT-D2174																																													
21. <input checked="" type="checkbox"/> The following fees are submitted: <b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):</b> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO. .... \$1000.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... \$860.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$710.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$690.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$100.00 <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>		<b>CALCULATIONS PTO USE ONLY</b> <table border="1"> <tr> <td>\$</td> <td>860.00</td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td>0.00</td> <td></td> </tr> <tr> <td></td> <td>0.00</td> <td></td> </tr> <tr> <td></td> <td>0.00</td> <td></td> </tr> <tr> <td></td> <td>860.00</td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td>860.00</td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td>860.00</td> <td></td> </tr> <tr> <td></td> <td>0.00</td> <td></td> </tr> <tr> <td></td> <td>860.00</td> <td></td> </tr> <tr> <td>to be</td> <td></td> <td></td> </tr> <tr> <td>deducted:</td> <td>\$</td> <td></td> </tr> <tr> <td>required:</td> <td>\$</td> <td></td> </tr> </table>		\$	860.00						0.00			0.00			0.00			860.00						860.00						860.00			0.00			860.00		to be			deducted:	\$		required:	\$	
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The PTO did not receive the following listed item(s)  
Received the amount of \$860.00 only.

Atty. Docket # MOT-D2174  
 Mailed prepared on: 05/29/2001  
 by Express Mail to Box PCT, Commissioner for Patents  
 Washington, D.C. 20231

**IN RE PATENT APPLICATION OF**  
**Inventor:** Waight et al.  
**Appln. No.:** Not Yet Known  
**Filed:** Not Yet Known  
**Title:** UNIVERSAL MODULATOR

Kindly acknowledge receipt of the following items with respect to the above identified matter by placing your date stamp hereon and mailing this card addressed and posted card:

- Transmittal Letter to the United States Designated/Elected Office Concerning a Filing Under 35 U.S.C. 371(2) pages); in duplicate;
- A copy of the international application as filed (26 pages);
- Declaration for Utility or Design Patent Application (5 pages);
- International Publication with International Search Report (25 pages);
- International Preliminary Examination Report (12 pages);
- Written Opinion (7 pages);
- Reply to Written Opinion (21 pages);
- 8 sheets of drawings, in triplicate; and
- Application Data Sheet
- a check in the amount of \$900.

DWS/lhc JOINT Rec'd PCT/PTO 29 MAY 2001

**VOLPE AND KOENIG, P.C.**  
 400 ONE PENN CENTER  
 1617 JOHN F. KENNEDY BOULEVARD  
 PHILADELPHIA, PA 19103

SOVEREIGN BANK  
 60-7269/2313

3564

\*EIGHT HUNDRED SIXTY AND 00/100 DOLLARS\*

DATE 05/29/01

AMOUNT \$860.00

PAY TO THE ORDER OF Commissioner of Patents and Trademark Office

*[Signature]*  
 VOLPE AND KOENIG P.C.  
 AUTHORIZED SIGNATURE

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